

YES	NO	10. Questionnaire (Place an "X" in the proper column)
		a. Is this the official copy of the series? If not, where is it?
		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
		c. Is this a vital record?
		d. Does this series have historical or long term research value?
		e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
		f. Is the information contained in this series ever published? If yes, attach copy.
		g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
		h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
		i. Is this series (or a major portion of it) regularly microfilmed?
		j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|--------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☒ Fiscal Year; ☐ Other _____ then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then *Fiscal Year Cut Off recommended by Auditors
- ☐ Transfer to local holding area, hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

When case is closed, remove from active file and place in in-active file; cut off in-active file at the end of each fiscal year; hold in current files area three (3) years; transfer to State Records Center; hold four years, then destroy.

*FY cut-off to begin with FY81'

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
Karl E. Hoens	7-13-81	Paul T. Murphy	7-13-81
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		State Auditor/Designee	7-21-81
		Secretary of State/Designee	7-20-81
		Attorney General/Designee	7-21-81



APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE

Application Date

Application Number

1. Agency Address

Dept. Of Medical Assistance
Investigation & Compliance Division
1010 West Peachtree Street, N.W.
Atlanta, Georgia 30309

FOR RECORDS MANAGEMENT USE

Application Number

78-13

Date Received

FEB 13 1978

Date Completed

MAR 10 1978

2. Person to Contact

Carol Jenkins

Working Title

Clerk-Typist III

Telephone Number

894-4923

3. Action Requested

- a. ☒ Establish Retention Schedule; record will continue to accumulate.
b. ☐ Dispose of present accumulation; no further accumulation anticipated.
c. ☐ Amend Application No. _____ Check One: ☐ Change; ☐ Supersede; ☐ Void

4. Dates of Series

Earliest

7-77

Latest

present

5. Records Series Title (followed by title used in office, if different)

Fraud and Abuse Investigation File

6. Division and Office Function

What is the function of the Division and the Office in which this record series is created?

The Division of Investigation & Compliance is responsible for investigating the possibility of fraud and abuse in the Medicaid Program as outlined under State & Federal regulations and Medicaid Program policies and procedures. This is accomplished by a review of applicant and claims, research into medical records and interviews with providers and recipients of the Medical Assistance Program.

7. Record Series Description

This file contains the following documents (include form numbers and titles, if any):
Attach samples of the file.

Documents relating to: Investigating possible fraud and abuse of the Medical Assistance Program.

Included, but not limited to, are: applicant claims, records of information obtained during investigation, memoranda of investigative activity, finished case reports, summaries of investigations and related correspondence.

File is arranged: alphabetically by type of service provided, thereunder numerically by case number

8. Monthly Reference Rate

How often are records referred to which are:

One to six months old _____; Seven to twelve months old _____; Thirteen to twenty-four months old _____;
twenty-five months and older _____? NO FILE HISTORY TO DATE

9. Annual Rate of Accumulation of Records

Letter-size drawers _____; Legal-size drawers _____; Shelves _____; Other (specify) _____

NO FILE HISTORY TO DATE

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
X		g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

a. State Law	<u>4</u> years.	d. Audit period	<u>7</u> years.
b. Statute of limitation	<u>4 Fed. 4 State</u> years.	e. Administrative need	<u>7</u> years.
c. Federal law	<u>7</u> years.	f. Federal retention instructions	_____ years.

Attach copy or excerpt of laws or regulations. Explain administrative need. Administratively, it is necessary that all completed files be kept seven (7) years. This enables adjudication of all claims by and against the State and Federal government within the statutes of limitations which range from two (2) years (misdemeanors) to seven (7) years (IRS Tax Laws).

SEE ATTACHED SHEETS

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☒ Other See Below then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area, hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify)

When case is closed, remove from active file and place in in-active file; cut off in-active file at the end of each calendar year; hold in current files area three (3) years; then transfer to State Records Center for four years; then destroy.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Jap M. Carney</i>	<i>2/7/78</i>	<i>Paul J. Murphy</i>	<i>2-9-78</i>
		State Records Committee (Signature)	Date
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Auditor/Designee	<i>3-7-78</i>
		Secretary of State/Designee	<i>2-3-78</i>
		Attorney General/Designee	<i>3-7-78</i>